

## INTERIM STATEWIDE INFORMATION TECHNOLOGY POLICY

### **Interim Policy: Establishing and Conducting Information Technology Pilots**

**Short Title:** Interim IT Pilot Policy

**Effective Date:** January 2, 2007

**Approved:** Richard B. Clark

**Replaces & Supersedes:** None.

### **I. Purpose**

The purpose of this policy is to establish enterprise information technology (IT) pilots as a means to provide and promote the investigation and implementation of new technologies and solutions in the State of Montana (State) enterprise IT architecture.

Pilots are a means to investigate alternatives and the impact of those alternatives, and to determine how well a solution may work in the enterprise IT architecture.

Pilots potentially or predictably affecting enterprise IT architecture, methods, performance, or resources shall be governed by this policy.

Pilots shall not automatically result in an approved standard, approved product or method, or inclusion into the architecture: post-pilot actions are dependent upon the results of the pilot, and specific implementation action shall be decided at termination of pilot. Pilots that fail to demonstrate they meet the strategies, goals, objectives and business needs of the State shall not be implemented, resulting in the cost of the pilot being a write-off. *The expense incurred by a pilot shall not be justification for implementing piloted solutions.*

### **II. Roles & Responsibilities**

Chief Information Officer: The State of Montana Chief Information Officer (CIO) may authorize the conduct of enterprise IT pilots in order to test alternative approaches for acquisition of IT in support of enterprise IT strategies, goals, objectives and business needs.

The CIO evaluates requests for pilots, stipulates terms and conditions, and evaluates the results of each pilot. CIO authorization to conduct a pilot shall be based upon the quality of a Pilot Plan and the needs of the State. The CIO shall determine follow-up actions and implementation decisions based upon the results of each pilot.

If necessary, the CIO shall temporarily waive the requirements of enterprise IT policies or standards for the purposes of allowing pilots. Waivers shall be limited solely to supporting an authorized pilot and shall terminate upon completion of the pilot.

Department Head: The department head of an individual agency/organization shall request the pilot and designate a single Testing Official who shall be responsible for the conduct of each pilot within the agency/organization.

Testing Official: The Testing Official is the appointed person responsible for planning, organizing, staffing, managing, procuring, reporting, conducting, and closing each pilot.

### **III. Definition(s)**

Pilot: An authorized enterprise IT experimental initiative lasting for a limited time, which is implemented for the purpose of systematically validating goals, objectives, assumptions, methods, processes, or other specified criteria. A pilot serves as an advance or experimental version or sample of an operation, process, method, system or product. The phrases “pilot project” and “pilot program” shall have the same meaning as “pilot”.

Refer to the [Statewide Information Technology Policies and Standards Glossary](#) for a list of definitions.

### **IV. Requirements and Procedures**

The request, authorization, and conduct of pilots shall meet the following requirements:

#### **A. Requirements**

Request for Pilot: Authorization to conduct an enterprise IT pilot shall be requested from the CIO by a department head. Each request shall be documented, to include the purpose, estimated size of effort and duration, estimated cost and projected benefits.

Joint Pilots: Joint pilot efforts are encouraged. However, to provide adequate span of control, each joint pilot shall be carried out in not more than three agencies/organizations that are designated by the CIO to carry out the pilot program. Joint pilots shall have one Testing Official.

Agency/Organization: The department head of each designated agency/organization shall, with the approval of the CIO, select the portions of the agency/organization that are to participate in the pilot, and shall

designate a single Testing Official who shall be responsible for the overall conduct and evaluation of the pilot.

Number of Pilots: Not more than two pilots may be conducted simultaneously by a single agency/organization.

Resource Commitment: The planned total cost of pilot shall be reviewed by the CIO prior to authorization to proceed. The CIO shall monitor pilots and ensure that this cost is not exceeded.

Pilot Period: A pilot may be carried out under this policy for the period that is determined by the CIO as being sufficient to establish reliable results, but shall generally not exceed one year.

Extensions: Requests for pilot extensions must be submitted to the CIO by the Testing Official for approval. Extensions include additional time, material, methods, tools, or other resources of a material nature.

Measurable Test Criteria: The Testing Official shall establish, to the maximum extent practicable, measurable criteria for evaluating the effects of the systems, processes, procedures or methods to be tested by the pilot. The criteria shall be form the basis of the Test Plan and shall be used to validate the outcome of the pilot.

Pilot Plan: The Testing Official shall submit a Pilot Plan to the CIO as the basis for receiving CIO authorization to proceed with the pilot. The plan shall include:

- Purpose of pilot
- Scope of pilot
- Schedule, including major milestones
- Support requirements
- Staff requirements and participation
- Planned Total cost of pilot (i.e., Budget)
- Success criteria
- A list of any policies or standards that are to be waived to accomplish the pilot

Test Plan: The Testing Official shall submit a detailed test plan for the pilot to the CIO before a pilot may be conducted. The plan shall include a detailed description of the procedures to be used.

Periodic Reporting: Progress reports shall be delivered to the CIO by the Testing Official on a monthly basis. The reports shall include progress against plan milestones and budget.

Final Report: The Testing Official shall submit a final report on the results and findings of the pilot to the CIO not later than 30 days after the completion of the pilot. The report shall include the following:

1. A detailed description of the results of the pilot, as measured by the criteria established for the pilot.
2. A discussion of any recommended policy changes that the head of each agency/organization participating in the pilot considers necessary in order to improve overall information resources management or performance within the State of Montana IT enterprise.

## **B. Procedure**

Pilot Management Procedure: Each pilot shall be managed and reported using generally accepted project management and systems development principles, processes, methods and techniques. Each pilot effort shall progress through the following phases and checkpoints:

- Initialize (or Startup) – Requests for pilots are received by the CIO. The CIO reviews the requests and grants approval to proceed to the Planning phase. (First CIO Authorization Checkpoint.)
- Planning – The Testing Official submits the Pilot Plan and the Test Plan to the CIO, including the planned cost of pilot. The CIO authorizes proceeding with the pilot based upon the quality of these plans. (Second CIO Authorization Checkpoint.)
- Execution – The Testing Official conducts the pilot and delivers periodic reports.
- Close (or Close Down) – The Testing Official closes the project and submits the final report to the department head and the CIO.
- Post-Pilot (Third CIO Authorization Checkpoint.) – The CIO:
  - ◆ Determines the impact of implementing the pilot into the architecture.
  - ◆ Reports to appropriate advisory groups.
  - ◆ Publishes the appropriate policies, standards, or approvals to authorize or deny the implementation of the piloted technology, method or product.

### **C. Changes and Exceptions**

Changes and exceptions to interim policies are governed by the Policy for Establishing and Implementing Statewide Information Technology Policies and Standards. Requests for a change to this policy are made by submitting an [Action Request](#) form. Requests for exceptions are made by submitting an [Exception Request](#) form.

### **V. Compliance Criteria**

Compliance criteria for this policy within each agency conducting an enterprise IT pilot are:

- Enterprise IT pilots are conducted by following this policy.
- Pilots are requested by the department head; information is clarified as required.
- The purpose, scope, schedule, support requirements, staff requirements and participation, planned total cost of pilot and pilot success criteria are well defined, documented and communicated.
- CIO authorization is obtained at each authorization checkpoint.
- The pilot is conducted in accordance with the Pilot Plan.
- Testing is accomplished in accordance with the Test Plan.
- Periodic reports are delivered on schedule.
- The final report is documented and delivered on schedule.
- Each major deliverable, report, plan, and authorization is documented and retained for auditing and records management purposes.

### **VI. Enforcement**

Enterprise IT pilots not developed and conducted in accordance with this policy shall not be approved or may be terminated, and subsequent procurement or implementation actions based upon the pilot delayed, interrupted or cancelled.

### **VII. Closing**

This policy shall be followed unless it conflicts with negotiated labor contracts or specific statutes, which shall take precedence to the extent applicable.

For questions on the this policy, e-mail [ITpolicy@mt.gov](mailto:ITpolicy@mt.gov), or, contact the Information Technology Services Division at:

Chief Information Officer  
PO Box 200113  
Helena, MT 59620-0113  
(406) 444-2700  
FAX: (406) 444-2701

## **VIII. Cross-Reference Guide**

### **A. State/Federal Laws**

MITA:

- 2-17-512(1) - Powers and duties
- 2-17-505(1) – Policy
- 2-17-514(1) – Enforcement

### **B. State Policies (IT Policies, MOM Policies, ARM Policies)**

- MITA Audit Recommendation #1

### **C. IT Procedures or Guidelines Supporting this Policy**

- None

## **IX. Administrative Use**

<b>History Log</b>	
Approved Date:	December 28, 2006
Effective Date:	January 2, 2007
Change & Review Contact:	<a href="mailto:ITpolicy@mt.gov">ITpolicy@mt.gov</a>
Review:	Event Review: Any event affecting this policy may initiate a review. Such events may include a change in statute, key staff changes or a request for review or change.
Scheduled Review Date:	One year from Effective Date
Last Review/Revision:	
Changes:	